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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/816,762	04/02/2004	Robert J. Drost	SUN-P9705	1134
57960	7590	01/29/2007	EXAMINER	
SUN MICROSYSTEMS INC. C/O PARK, VAUGHAN & FLEMING LLP 2820 FIFTH STREET DAVIS, CA 95618-7759			RAHLL, JERRY T	
			ART UNIT	PAPER NUMBER
			2874	
SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE		
3 MONTHS	01/29/2007	PAPER		

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	10/816,762	DROST ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Jerry T. Rahli	2874	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) Responsive to communication(s) filed on 23 October 2006.
- 2a) This action is FINAL.                    2b) This action is non-final.
- 3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) Claim(s) 1-4, 7-14, 17-24 and 27-33 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) Claim(s) \_\_\_\_\_ is/are allowed.
- 6) Claim(s) 1-4, 7-14, 17-24, and 27-33 is/are rejected.
- 7) Claim(s) \_\_\_\_\_ is/are objected to.
- 8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) The specification is objected to by the Examiner.
- 10) The drawing(s) filed on 02 April 2004 is/are: a) accepted or b) objected to by the Examiner.  
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) All    b) Some \* c) None of:
1. Certified copies of the priority documents have been received.
  2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____.                                     |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____.   | 6) <input type="checkbox"/> Other: _____.                         |

## **DETAILED ACTION**

### ***Claim Rejections - 35 USC § 103***

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

3. Claims 1-4, 7-14, 17-24, and 27-33 are rejected under 35 U.S.C. 103(a) as being unpatentable over US Patent Application Publication No. 2003/0039455 to Ouchi in view of US Patent No. 5,857,042 Robertson et al. and US Patent No. 6,374,012

4. Regarding Claims 1, 11 and 21, Ouchi describes a computer system (see Paragraph 4) having a device for communicating between a first electrical-to-optical semiconductor transducer (1131), a member of a plurality of transducers associated with a channel (see Figure 1, unlabeled channel holding driver circuits 1131 and transducers 1132), to convert electrical signals into optical signals located on a face and a second optical-to-electrical semiconductor transducer (1141), a member of a plurality of transducers associated with a channel (see Figure 1, unlabeled

channel holding driver circuits 1142 and transducers 1141), configured to convert optical signals received from the first transducer into electrical signals located on a second face, where the first and second faces are oriented face-to-face so that the optical signal from the first die shines on the second die (see Figure 1 and Paragraphs 6-7). Ouchi does not describe the first and second transducers positioned on separate semiconductor dies.

5. Robertson et al. describes a device for communicating between a first semiconductor die (14) and a second semiconductor dies (15) comprising an electrical-to-optical transducers (16A-16D) configured to convert electrical signals into optical signals (see Column 3) located on a face of the first die and optical-to-electrical transducers (17A-17D) configured to convert optical signals received from the first die into electrical signals (see Column 3) located on a face of the second die, where the first and second dies are oriented face-to-face so that the optical signal from the first die shines on the second die (see Figures 2-3 and Columns 2-4). The method of Claim 1 is embodied in the device described above.

6. Ouchi and Robertson et al. are analogous art from the same field of endeavor of optical communications between electrical circuits. At the time of invention, it would have been obvious to one of ordinary skill in the art to use the transducer set up of Ouchi with the separate die structure of Robertson et al. The motivation for doing so would have been to allow for optical connection between electrical circuits that are not coplanar. Therefore, it would have been obvious to one of ordinary skill in the art to combine Robertson et al. with Ouchi to obtain the invention as specified in the present claims.

7. Further, Ouchi and Robertson et al. do not describe the optical signals electronically steered to correct misalignments. Bergmann et al. describes electronically steering optical

signals to correct for misalignments (see Figures 1-4 and Columns 4-8). At the time of invention, it would have been obvious to one of ordinary skill in the art to use the adjusting lens structure of Bergmann et al. for the lens structure of the above-described combined device of Ouchi and Robertson et al. The motivation for doing so would have been to finely tune, or “trim”, the beam path to allow for optimized signal transmission (see Column 1 of Bergmann et al.).

8. The method of Claim 1 is embodied in the device described above.
9. Regarding Claims 2 and 12, Robertson et al. does not specifically describe annuli in metal layers on the first semiconductor die. However, it is well known in the art that such annular structures are functionally equivalent to the lens structures described by Robertson et al. Therefore, it would have been obvious to one of ordinary skill in the art to use any well-known equivalent to focus the optical signal in the device described by Robertson. The motivation for doing would have been to increase long-term stability of the structure or to decrease the projection of the focusing means from the die surface.
10. Regarding Claims 3 and 13, Robertson et al. describes lenses (19A-19D) that focus the optical signal on the second die.
11. Regarding Claims 4, 14, and 24, Ouchi describes a mirror (1133s) reflecting the optical signal and the transducers being perpendicular to each other (see Figure 1).
12. Regarding Claims 7, 8, 17 and 18, Bergmann et al. describes controlling the transducers to correct mechanical misalignment in X, Y, or Θ coordinates (see Columns 4-8).
13. Regarding Claims 9 and 19, Robertson et al. describes the electrical-to-optical transducers as VCSELs (23).

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14. Regarding Claims 10 and 20, Robertson et al. describes the optical-to-electrical transducers as PIN photo-diodes (see Column 3).
15. Regarding Claims 31 and 32, Ouchi further describes an interposer (1101) containing plural waveguides sandwiched between the transducers.
16. Regarding Claims 21-24, 27-30, and 33, all of the limitations of these claims have been discussed concerning Claims 1-4, 7-14, 17-20, and 31-32 except for the inclusion of the described device in a computer system. Robertson does not specifically describe the device used in a computer system. However, it is well-known in the art to use optical transmission between chips in computer systems. Therefore, it would have been obvious to one of ordinary skill in the art to use the transducer setup described by Robertson in a computer system to allow for fast, dense communication between chips.

*Response to Arguments*

17. Applicant's arguments with respect to claims 1, 11, and 21 have been considered but are moot in view of the new ground(s) of rejection. As discussed above, a combined device using the teachings of Ouchi, Robertson et al., and Bergmann et al. describes electronically steering optical signals to correct mechanical misalignments between elements.

*Conclusion*

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO

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MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

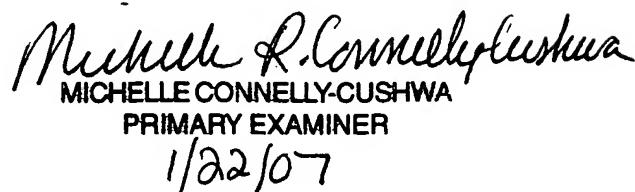
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jerry T. Rahll whose telephone number is (571) 272-2356. The examiner can normally be reached on M-F (9:00-5:00).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Rodney Bovernick can be reached on (571) 272-2344. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



Jerry T Rahll



MICHELLE CONNELLY-CUSHWA  
PRIMARY EXAMINER  
1/22/07